

DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 22: AUDIT/INVESTIGATIVE RECORDS

11-19-01

Section I of this schedule covers records associated with investigations other than those performed by the Office of the Inspector General (OIG). Types of investigations may include: routine and significant internal program investigations, specific purpose investigations, audits, inspections, appraisals, and management reviews. Investigations may be described or referred to as audits, appraisals, surveillance, self-assessments, management assessments, or evaluations. Investigations may be conducted by DOE or by its contractors. **Section II** covers records created by the Department's OIG investigations. OIG investigations serve to prevent or reduce waste and fraud in Departmental programs, to improve Departmental management, and to determine compliance with requirements. This section applies to both Headquarters and Field office records. **Section III** covers electronic mail and word processing system copies, and is applicable to all records series contained in DOE Administrative Records Schedule 22.

Indexes to these files are covered by **Records Common to Most Offices Within the Department**, ADM 23, item 9. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not covered by this schedule must be scheduled separately.

The records described in this schedule are authorized for disposal in both hard copy and electronic formats.

SECTION I. INVESTIGATION / AUDIT RECORDS OTHER THAN THOSE OF THE OFFICE OF THE INSPECTOR GENERAL

Investigative case files relate to Departmental personnel, programs and operations administered or financed by the Department. Contractors and others having a relationship with the Department are included. Investigations include those for known or alleged program or management irregularities, and may also include routine assessments and appraisals. Investigative reports and related documents are included, such as correspondence, notes, attachments, working papers, and products of the investigation; e.g., a report or the equivalent including additional non-conformance reports, trend analyses, corrective action records and plans, lessons learned, and associated working papers, reviews, comments, and log books.

1. Reports. (N1-434-98-24, Item 1)

a. Final Audit/Investigation Reports.

(1) Reports on activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.

(a). Official Copy. PERMANENT. Cut off annually. Transfer to NARA in 5-year blocks when 10 years old.

(b). All other copies. Destroy when no longer needed.

(2) All final audit/investigative reports not meeting the criteria of Item 1.a.(1).

(a). Official copy. Cut off annually. Destroy when 10 years old.

(b). All other copies. Destroy when no longer needed

2. Audit/Investigative Case Files. (N1-434-98-24, Item 2)

a. Case files developed in connection with activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.

(1) Official Copy. PERMANENT. Cut off upon completion of audit or investigation. Transfer to NARA along with associated report.

(2) All other copies. Destroy when no longer needed.

b. All other case files not meeting the criteria of item 2a.

(1) Official Copy. Cut off upon completion of audit or investigation. Destroy when 10 years old.

(2) All other copies. Destroy when no longer needed.

3. Potential Investigations. (N1-434-98-24, Item 3)

Potential investigative files contain information or allegations which are of an investigative nature but do not relate to a specific investigation. They include the anonymous and other allegations determined not to warrant an investigation, matters referred to others for handling, and support files providing general information which may prove useful in an investigation.

Cut off at the end of the fiscal year. Destroy when 5 years old.

4. Environmental Investigations. (N1-434-98-24, Item 4)

Audit and investigative case files and reports that pertain to environmental, health, and safety topics, cases, or concerns, but ARE NOT covered by items 1a(1) or 2a(1) above.

Cut off upon completion of audit or investigation. Destroy when 75 years old.

SECTION II. OFFICE OF THE INSPECTOR GENERAL RECORDS

This section covers files created or maintained by the Department of Energy, Office of Inspector General (OIG). Major statutory responsibilities of the OIG are to detect and prevent fraud, abuse, and violations of laws and regulations. They are intended to promote economy, efficiency, and effectiveness in the operations of the Department of Energy. Investigations may stem from employee, hotline, or miscellaneous complaints. OIG cases are categorized either as routine or priority. Cases are designated priority when the matter under investigation has special interest to the Inspector General or other high-level Department officials, the U.S. Congress, the White House or the media, or when at least one of the other criteria identified in item 9.b.1 of this schedule has been met. Although this schedule is applicable to records located at Headquarters and in Field offices, PERMANENT retentions may be used by Headquarters only.

5. Semiannual Reports to Congress. (N1-434-00-1, Item 1)

Reports that summarize significant Office of Inspector General audit, inspection and investigative accomplishments for the reporting period and that may attract Congressional or national media attention.

a. Official copy.

PERMANENT. Cut off at the end of the fiscal year which includes reporting period. Maintain in office. Transfer to National Archives and Records Administration (NARA) 30 years after cutoff.

b. All other copies.

Destroy when no longer needed.

6. Audit Records. (N1-434-00-1, Item 2)

OIG files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. These are files (including audit reports, most of which may be released to the public) develop in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

- a. OIG files containing information which does not result in a formal audit, as well as information requiring no action by the OIG.
 - (1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.
 - (2) All other copies.

Destroy when no longer needed.

- b. OIG files containing information which has resulted in the initiation of a formal audit.
 - (1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.
 - (2) All other copies.

Destroy when no longer needed.

- c. Final audit report.
 - (1) Official copy.

PERMANENT. Cutoff at the end of the fiscal year during which file is formally closed. Maintain in Office. Transfer to NARA 30 years after cutoff.
 - (2) All other copies.

Destroy when no longer needed.

7. Inspection Records. (N1-434-00-1, Item 3)

OIG files of allegations/complaints of a non-criminal nature, employee retaliation, or a special inquiry of sensitive issues. These are files (including inspection reports) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or cited in semiannual reports to Congress.

- a. OIG files containing information or allegations, described above, which do not result in a formal inspection, including Qui Tam files and allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

- (1) Official copy.

- Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.

- (2) All other copies.

- Destroy when no longer needed.

- b. OIG files containing information or allegations which have resulted in the initiation of a formal inspection.

- (1) Official copy.

- Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.

- c. Final inspection report.

- (1) Official copy.

- PERMANENT. Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

- (2) All other copies.

- Destroy when no longer needed.

8. Investigative Records. (N1-434-00-1, Item 4)

OIG files to document allegations of fraud, waste, abuse, and violations of Federal laws/regulations involving DOE programs operations, employees and/or monies. The allegations relate to prohibited or improper activities against the Department by its contractors, vendors, employees, and others having a relationship to DOE. This included allegations reported in writing, via telephone, in person or to the Hotline, email, or to any OIG staff. These are files (including investigation reports, none of which may be released to the public) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

- a. OIG files containing information or allegations, which do not result in a formal investigation, including allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

- (1) Official copy.

- Cut off at the end of the fiscal year. Maintain in office. Destroy 10 years after cutoff.

- (2) All other copies.

- Destroy when no longer needed.

- b. OIG records containing information or allegations which have resulted in the initiation of a formal investigation.

- (1) Records of investigations which are deemed priority and meet any one of the following:

- (i) the matter under investigation has special interest to the Inspector General, the Assistant Inspector General for Investigations (AIGI), Departmental Officials at the Assistant Secretary level or above, the U.S. Congress, the White House, or the media;

- (ii) the AIGI, Deputy AIGI, Special Agent-in-Charge, or Assistant Special Agent-in-Charge believes the case has the potential to have a significant impact on Department programs or operations;

(iii) the matter under investigation involves a Departmental official at the Senior Executive Service (SES) level or above as a subject; or

(iv) the matter under investigation is designated priority and/or time-sensitive by Headquarters or an Office of Investigations Manager.

PERMANENT. Cutoff at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

- (2) All other investigative records not covered by item 9.b.(1).

Cutoff at the end of the fiscal year. Maintain in office. Destroy 20 years after cutoff.

- (3) All other copies.

Destroy when no longer needed.

SECTION III. ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES.
(N1-434-98-24, Item 5) and (N1-434-00-1, Item 5)

9. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.